

FORM PTO-1396  
(REV 11-2000)

ATTORNEY'S DOCKET NUMBER  
3399-4006

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.51)  
**10/030902**

INTERNATIONAL APPLICATION NO.  
PCT/GB00/02616

INTERNATIONAL FILING DATE  
07 July 00 (07.07.00)

EARLIEST PRIORITY DATE CLAIMED  
09 July 99 (09.07.99)

TITLE OF INVENTION

IMPROVEMENTS IN AND RELATING TO DELIVERY CAPSULES

APPLICANT(S) FOR DO/EO/US

Edward NOWAK, Barry John MUNCASTER and Malcolm David BROWN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and 21 indicated below.
  4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
    - b. ☒ has been communicated by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ An English language translation of the International application as filed (35 U.S.C. 371(c)(2)).
    - a. ☐ is attached hereto.
    - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☒ are attached hereto (required only if not communicated by the International Bureau).
    - b. ☒ have been communicated by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:**
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 with PTO 1449 and copy of all cited references.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment.
  14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  15. ☐ A substitute specification.
  16. ☐ A change of power of attorney and/or address letter.
  17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 154(d)(2) with copy of Statement Under 37 CFR Section 1.821(f) and WIPO Standard ST.25 as filed with the International Bureau of WIPO.
  18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
  19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

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APPLICATION NO. (if known, see 37 C.F.R. § 1.53)

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JC13 Rec'd PCT/PTC 09 JAN 2002

20. ☒ Other items or information:

Copies of:

Published PCT/GB00/02616, International Publication Number WO 01/03676 (with International Search Report);

Demand (Form PCT/IPEA/401);

Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416);

International Preliminary Examination Report (Form PCT/IPEA/409);

Notice Informing the Applicant of the Communication of the International Application to the Designated Offices (Form PCT/IB/308);

Notification Concerning Submission or Transmittal of Priority Document (Form PCT/IB/304);

Information Concerning Elected Offices Notified of Their Election (Form PCT/IB/332); and

Request (4 pages).

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.55) <div style="font-size: 1.5em; font-weight: bold;">10/030902</div>		INTERNATIONAL APPLICATION NO. PCT/GB00/02616		AGENT'S DOCKET NUMBER 3399-4006	
21. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5) ):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1040.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$890.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2) paid to USPTO...\$740.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33 (1) - (4).....\$710.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1) - (4).....\$100.00  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<div style="border-bottom: 1px solid black; padding-bottom: 5px;">           CALCULATIONS      PTO USE ONLY         </div>	
Surcharge of \$130 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<div style="border-bottom: 1px solid black; height: 20px;"></div>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	47 - 20 =	27	X \$18.00	\$ 486.00	
Independent claims	3 - 3 =	0	X \$84.00	\$ -0-	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$280.00	\$ 280.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$1,656.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. 1.27. The fees indicated above are reduced by 1/2.				\$ 828.00	
<b>SUBTOTAL =</b>				\$ 828.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 828.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property X =				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$ 828.00	
				Amount to be refunded:	\$
				charged:	\$
a. <input type="checkbox"/> A check in the amount of \$      to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 13-4500, ORDER NO. 3399-4006 in the amount of <b>\$828.00</b> to cover the above fees. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-4500, ORDER NO. 3399-4006. <b>A duplicate copy of this sheet is enclosed.</b> d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card</b> <b>information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038. <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">           Morgan &amp; Finnegan LLP            345 Park Avenue            New York, NY 10154-0053            Telephone: 212-758-4800            Telecopier: 212-751-6849         </div> <div style="width: 45%; text-align: center;">           Signature _____              James P. Demers             _____            Registration No. 34,320         </div> </div>					